

**EPA Region 4  
Guide to  
Collection and Transmission System  
Management, Operation, and Maintenance Programs**

**Version 1.1**



**PURPOSE & DISCLAIMER**

This document is the work product of the EPA Region 4, Water Protection Division, Clean Water Enforcement Branch (CWEB) and supercedes a previous draft dated September 2003 (Version 1.0). This document serves as an introduction for new Region 4 inspectors in the CWEB Municipal Infrastructure Enforcement Program and contains descriptive information for utilities conducting self-assessments in the Region 4 Management, Operation, and Maintenance (MOM) Programs Project.

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## INTRODUCTION

A utility should develop an appropriate, comprehensive Management, Operation and Maintenance (MOM) Program for the sewerage infrastructure (sewer system and wastewater treatment plant) which it owns and operates. A comprehensive MOM Program is comprised of individual management, operation, and maintenance programs, each of which:

- is specific to, and tailored for, the utility's infrastructure;
- has a written purpose explaining why the program is needed; has specific written goal(s) establishing the accomplishment(s) desired for the current fiscal year;
- has the details of the activities and procedures that are followed to implement the program written down in the form of Standard Management Procedures (SP), Standard Operating Procedures (SOP), and/or Standard Maintenance Procedures (SMP) that are used by the utility's personnel;
- is implemented by well-trained personnel; has established appropriate performance measures which are tracked by management; and,
- has a written procedure requiring periodic review, evaluation, and any necessary revision.

An important concept is that MOM programs are utility-specific. Most, if not all, of the programs described in this guide are based on actual programs observed at proactive utilities. However, utilities may have different titles for the various MOM programs described in this guide and may have them organized very differently. Some utilities may be organized in a way that they consolidate some of the MOM programs described in this guide, or they may exclude part of a program described in this guide because of justifiable circumstances. Utilities may also have additional MOM programs that are not contained in this guide.

### Tailored to the Utility

The utility should have programs tailored to match its geographic, physical, and climatic conditions; level of complexity; infrastructure configuration; and level of sophistication. Utilities may also have a number of their MOM programs implemented through a managed contract rather than by their own trained personnel.

### Program Purpose

The purpose of a given MOM program is the reason why the program is needed and why it exists.

*Example:* The purpose our utility's smoke testing program is to identify sources of inflow our sewer system that need to be eliminated so that we can regain some of our peak flow capacity.

### Program Goal

The individual program goal(s) establishes the accomplishments desired for the given MOM program during the upcoming fiscal year.

*Example:* The goal our smoke testing program for this fiscal year is to reclaim system peak

capacity, and to reduce treatment plant hydraulic loading by identifying sources of inflow to the system by conducting investigations in the ABC and DEF sewersheds. This goal will be accomplished in a cost-effective manner using our personnel and by using a contractor.

#### Program Documentation

The program documentation specifies, in writing, the specific details of the activities and procedures that personnel follow to implement the program. Program documentation should be maintained in a central location and made available to all personnel.

*Example:* Our utility has a long-term, ongoing, smoke testing program. The program priorities and standard operating procedures are contained in a manual entitled "Smoke Testing Program for Utility X."

#### Implemented by Trained Personnel

Training programs are established and followed to ensure that utility personnel are well-trained to implement each program and successfully achieve each program's goals.

*Example:* All personnel assigned to our smoke testing activity receive three hours of basic training followed by eighty (80) hours of on-the-job training to assure competency. Our contract with outside sources to conduct smoke testing requires the contractor to follow our standard operating procedures.

#### Performance Measures

Appropriate performance measures should be established for each program and reviewed at minimum on an annual basis.

*Example:* During this fiscal year, the performance goal is to smoke test 200,000 lineal feet of gravity sewer in two sewersheds selected according to our priority procedures. Last year, we exceeded our performance goal of 178,000 lineal feet of gravity sewer by smoke testing 193,000 lineal feet. As a result, 623 defects were identified and passed on to our rehabilitation and private service lateral programs for correction.

#### Periodic Evaluation

An evaluation by utility management should occur for each program, annually at minimum, to evaluate how well a program accomplished the program goals established at the beginning of the period and to determine whether the program, as presently implemented, is using the most efficient approach. Remedies should be identified and scheduled to correct any deficiencies. Questions the evaluation should answer are:

- Are there program design, resource or implementation deficiencies that keep the program from achieving its performance measures?
- Are these program deficiencies leading to sanitary sewer overflows, permit violations or other

Clean Water Act violations?

- Are there program deficiencies leading to decreased customer service and/or unwarranted deterioration of utility assets?
- Are there changes that should be made to the program that will make its implementation more efficient, thereby conserving resources for better implementation of other programs?

*Example:* The smoke testing program has yielded good results during the past four years. Following our priority criteria, most of the significant inflow problems have been eliminated. Next year the program will be reduced by 25% and the resources applied to our maintenance of way program. Peak flows will be monitored at key locations to determine if this reduction in the smoke testing program will need to be reversed in the future. Additionally, we are conducting a cost analysis to determine whether we should contract out for all smoke testing work in the future.

## SYSTEM PROFILE AND PERFORMANCE SUMMARY

A proactive utility will maintain a profile of its system as a basis for explaining its situation to regulatory agencies, the public, and when networking with other utilities. A profile typically contains basic population and inventory information as well as a recent system performance summary. An example of a system performance summary is provided on the following page.

**Population Served:** .....

**Number of Customers:** .....

**Number of Treatment Plants:** .....

**Total Wastewater Design Treatment Capacity:**

**Total Volume of Wastewater Treated:** .....

**Miles of Gravity Sewers:** .....

**Number of Manholes:** .....

**Number of Inverted Siphons:** .....

**Number of Pump Stations:** .....

**Miles of Force Main:** .....

**Number of Employees:** .....

**Annual Capital Improvement Budget:** .....

**Annual Operation and Maintenance Budget:** ...

**Total Annual Operating Budget:** .....

System-Wide MOM Programs Recent Performance Summary		Year	Month
Performance Measures for Previous 12 Months			
A. Number of Customer Complaints			
B. Number of NPDES Permit Violations			
C. Number of Capacity-Related Overflows			
D. Number of Maintenance-Related Overflows			
E. Number of Operations-Related Overflows			
F. Number of Blockages			
G. Number of Cave-Ins			
H. Number of Pump Station Failures			
I. Peak Flow Factor at Treatment Plant (1 hour high/dry month avg.)			
J. Monthly Average Treatment Plant Flow Rate (gal/capita/day)			
K. Monthly High One Day Treatment Flow Rate (gal/capita/day)			
L. Number of By-Passes at Treatment Plant			
M. Volume of Treatment Plant By-Passes (gal)			
N. WWTP Weekly Average Influent BOD (mg/L)			

## **MANAGEMENT PROGRAMS**

### **1. Organization**

#### **a. Organizational Chart**

An organizational chart clearly depicts all units in the organization, the lines of authority between the various organization units, a description of the functions of each of the organization units, the title and duties of each position in the organization units and an indication of whether or not each position is currently budgeted and filled.

#### **b. Relation to Other Municipal Functions**

An organizational chart clearly depicts the relationship of the sewerage utility to other municipal functions such as public works, streets and drainage, building inspection, building permits, and public health. There is a mechanism for updating the chart in manner timely to changes which may occur in the organization.

### **2. Training**

#### **a. Technical Training Program**

This program specifies requirements (curriculum) for initial and refresher training to ensure each employee has a level of knowledge, commensurate with duties, of the overall functions of the utility's infrastructure. This program also includes outside technical training and networking opportunities, such as conferences and seminars, that are made available to employees.

The program includes the extent to which employee certification, at either the State or the utility's organization level, is required as a basis for obtaining or maintaining a position. Records of technical training are maintained and the degree to which completed technical training is tied to promotion and pay is specified. Finally, the program specifies the technical training required before an employee is permitted to undertake specific work assignments or tasks.

#### **b. Skills Training Program**

This program specifies requirements (curriculum) for initial and refresher training to ensure each employee has a level of knowledge, commensurate with duties, of the specific equipment to be used and the procedures to be followed in carrying out duties. This program should include outside skills training opportunities, such as manufacturers' or vendors' training workshops, that are made available to employees.

The program includes the extent to which employee certification, at either the State or the utility's organization level, is required as a basis for obtaining or maintaining a position. Records of skills training, whether formal or on-the-job apprenticeship, are maintained and the degree to which completed training is tied to promotion and pay is specified. Finally, the program specifies the skills and on-the-job training required before an employee is permitted to undertake specific work assignments or tasks.

**c. Safety Training Program**

This program specifies requirements (curriculum) for initial and refresher training to ensure each employee has an adequate level of knowledge regarding on-the-job safety. The program includes the extent to which employee safety certification at the State or at the utility's organization level is required as a basis for obtaining or maintaining a position. Records of safety training, including on-the-job safety meetings, are maintained. Finally, the program specifies the safety training required before an employee is permitted to undertake specific work assignments or tasks.

**3. Safety**

**a. Safety Authority**

A Safety Authority (whether a safety department, safety committee, safety officer, or similar mechanism) is present to establish utility safety policy, oversee compliance, and maintain the overall Safety Program. Program maintenance includes specifying safety resources needed for utility activities, assuring record of appropriate standard reporting forms, and establishing a Safety Review Board if appropriate.

**b. Confined Space Program**

This program provides marking for confined spaces, and uses a permitting system and written standard procedures for confined space entry.

**c. General Safety Procedures Program**

This program provides instruction in defensive driving, first aid, CPR, personal sanitation, personal protection clothing, and similar general work- related safety issues.

**d. Traffic Management Procedures Program**

This program provides for standard traffic management techniques, off-hour scheduling of line work, and coordination with law enforcement.

**e. Lock-Out/Tag-Out Program**

This program provides signs on equipment involved in the program, limitation to authorized personnel, required tag information, and permit requirements.

**f. Safety Equipment Program**

This program assures the availability of appropriate safety equipment such as tripods and hoists, well-calibrated atmospheric testing equipment, self-contained breathing apparatuses, lights and barricades, exhaust fans, and personal protective clothing.

**g. Safety Performance Program**

This program tracks parameters such as number of injuries, lost days, and workman's compensation claims to be used by management to assess Safety Program effectiveness.

**4. Information Management Systems (IMS)**

**a. Management Programs IMS**

This information management system enables utility management to adequately evaluate operation, maintenance, customer service (complaint response), and system rehabilitation activities so that overall system performance can be determined and utility planning can be conducted.

**b. Operation Programs IMS**

This information management system is used to track scheduled operational activities and to enhance operational performance. The system ensures timely production of operating reports and standardized data collection methods are used by field personnel (e.g., forms or PDA files). The system requires data review by the field supervisor and securely preserves operating records. While the system need not be computer-based, it should be capable of feeding information to the Management Programs IMS.

**c. Maintenance Programs IMS**

This information management system is used to track scheduled maintenance activities and to enhance maintenance performance. The system ensures timely production of maintenance reports and standardized data collection methods are used by field personnel (e.g., forms or PDA files). The system requires data review by the field supervisor and securely preserves maintenance records. While the system need not be computer-based, it should be capable of feeding information to the Management Programs IMS.

**d. Customer Service IMS**

This information management system is used to track reactive activities (i.e., emergencies or customer complaints) and to enhance customer service. The system ensures timely production of complaint reports and standardized data collection methods are used by field personnel (e.g., work order forms or PDA files). The system requires data review by the field supervisor and securely preserves service records. While the system need not be computer-based, it should be capable of feeding information into the Management Programs IMS.

**5. Engineering**

**a. Collection and Transmission System Plans Program**

This program ensures a full set of as-built plans for the collection and transmission system are available, field crews have ready access to the plans, and a written standard procedure is present to account changes, update the plans, and supply revised versions to field crews in a timely manner.

**b. System Inventory Program**

This program ensures an inventory of the utility's collection and transmission system is present, updated, and cataloged by service area or sewershed. The inventory lists the system components with their attributes and characteristics (e.g., pipe age, pipe size, pipe material, invert elevation, pump sizes, location of inverted siphons, pump stations, manholes, etc.).

**c. Mapping Program**

This program ensures adequately detailed maps are available to be used in conjunction with the utility's MOM programs. At minimum, the maps depict the location of gravity sewer lines, force mains, air valves, manholes (by identifying numbers), pump stations, major appurtenances, and the size of pipes.

**d. Sewer System Design Program**

This program ensures all new sewer system construction will be adequately designed and constructed using specifications that assure the integrity of the infrastructure. The program includes documented design criteria (e.g., slope and bedding materials), use of standardized construction details, use of standardized materials and construction practices, a standard design review process which includes review by utility personnel for possible maintenance concerns, standardized review forms, and record keeping procedures.

**e. New Construction and Rehabilitation Inspection Program**

This program ensures new construction or rehabilitative work is properly inspected, and built using the utility's standard construction specifications (including use of best management practices to prevent stream pollution). The program includes use of standardized construction procedures, standardized construction testing procedures, standardized inspection and testing forms/reports, and assurance that the inspection is conducted under the authority and supervision of a registered Professional Engineer. The program also provides subsequent closed circuit television (CCTV) inspection of line construction prior to expiration of the warranty, and retention of the tapes for reference.

**f. Acquisition Considerations Program**

This program ensures prospective infrastructure is inspected and evaluated for compliance with the utility's standard design and construction criteria before it is acquired by the utility from another entity. The program includes written standard procedures to conduct the evaluation and estimate the time/cost requirements to bring the infrastructure into compliance with utility standards.

**g. Continuous Sewer System Assessment Program**

*i.) Prioritization*

This program prioritizes sewer service areas (i.e., sewersheds) for sewer system assessment activities. Prioritization is based upon information such as complaints, flow monitoring (including flow isolation studies), historical location of sewer overflows, pump station run times, field crew work orders, and other relevant information available to the utility.

*ii.) Dyed Water Flooding*

This program conducts dyed water testing, when appropriate, to locate sources of inflow and other illicit connections to the sewer system. The program includes written standard procedures, standard forms, performance measures, and a mechanism for including dyed water testing information in the IMS.

*iii.) Corrosion Defect Identification*

This program identifies locations within the sewer infrastructure subject to corrosion and provides for inspection of those locations for corrosion on a routine basis. The program includes written procedures for corrosion identification, corrosion identification forms, performance goals, corrosion defect analysis, and a mechanism for including corrosion defect information in the IMS.

*iv.) Manhole Inspection*

This program ensures routine inspection of manholes within the sewer system. The program includes standard manhole inspection procedures, manhole inspection forms, performance goals, manhole defect analysis, and a mechanism for including manhole inspection information in the IMS.

*v.) Flow Monitoring*

This program supplies flow monitoring data to support engineering analyses related to sewer system capacity and peak flow evaluations, and to assist scheduling of sewer line maintenance. The program may include installation of an appropriate number of calibrated permanent and/or temporary flow meters, or rudimentary use of visual flow observations taken during base flow periods in wet and dry seasons. The latter option is more cost-effective for some very small utilities. Either program should include a procedure for adequate rainfall measurement, servicing meters, and a mechanism for including flow monitoring information in the IMS.

*vi.) Closed Circuit Television (CCTV)*

This program provides internal inspection of the integrity of gravity sewer lines. The appropriate number of qualified CCTV personnel and dedicated equipment, or the scope of a CCTV contract, is determined to ensure sewer inspection work is completed properly. The program includes standard operating procedures (including pre-inspection cleaning), performance measures, and mechanisms for including CCTV information in the IMS and retaining CCTV tapes.

*vii.) Gravity System Defect Analysis*

This program analyzes gravity sewer system defects. The program includes standard defect codes, written defect identification procedures and guidelines, a standardized process for cataloging gravity system defects, a mechanism for including gravity system defect information in the IMS, and training specified for personnel.

*viii) Smoke Testing*

This program identifies sources of inflow into the gravity sewer system by use of smoke

testing equipment. The program includes written standard smoke testing procedures, smoke testing forms, performance goals, smoke testing defect analysis, and a mechanism for including smoke testing information in the IMS.

*ix.) Service Lateral Investigations*

This program investigates infiltration and inflow contributions and other problems originating in service laterals. The program includes written standard investigation techniques, standard investigation forms, performance goals, standard analysis procedures, and a mechanism for including service lateral investigation information in the IMS.

*x.) Pump Station Performance and Adequacy*

This program permits evaluation of pump station performance and pump station adequacy. The program includes trend analysis of pump run-time meter, pump start-counter, or amperage data; historical review of the fundamental causes of pump failures; use of appropriate remote monitoring and alarm notification equipment; and a mechanism for including pump station performance information in the IMS.

**h. Infrastructure Rehabilitation Program**

This program rehabilitates gravity sewer lines, force mains, manholes, pump stations, and related appurtenances. The program includes a process for prioritizing rehabilitation, inventory of all completed rehabilitation (including a breakdown of the rehabilitation techniques used), inspection and performance measurement for all completed rehabilitation, written schedules for rehabilitation work, and a mechanism for including rehabilitation information in the IMS.

**i. System Capacity Assurance Program**

*i.) Capacity Assurance for New Connections*

This program ensures there is adequate capacity to collect, transmit, and treat additional sewage expected as a result of prospective new sewer connections. The program is integrated into, or thoroughly coordinated with, the building permit process. It is also integrated into the Acquisition Considerations Program described above in 5(f). The program has a mechanism for including capacity assurance information in the IMS.

*ii.) Protocols for Capacity Assurance*

The program includes, but is not limited to: use of standardized design flow rate rules of thumb (i.e., regarding pipe roughness, manhole head losses, accuracy of distance and slope on as-built drawings, and water use); use of techniques to predict the impacts of additional flow (i.e., use of a hydraulic model of gravity system, pressure system, and other appropriate techniques); and use of flow metering to confirm mathematical estimations of existing peak flow. The program requires certification of adequate capacity by a registered Professional Engineer, and includes an IMS mechanism for integrating analysis from this program with information on infiltration/inflow reduction activities.

## 6. Overflow Tracking

### a. State Agency Reporting Program

This program includes written standard operating procedures which clearly define the minimum State Agency reporting requirements for events where sewage leaves the infrastructure before treatment, and the steps utility personnel must follow to meet or exceed those reporting requirements.

### b. Local Agency Reporting Program

This program provides secondary notice to the public and to other appropriate organizations (e.g., downstream utilities with water intakes and local public health authorities) when an overflow presents an imminent and substantial threat to public health or the environment. The program includes written criteria for making this notice, procedures for notifying news media and posting notices at stream locations, and may also prepare an annual summary report available to the public.

### c. Records Management Program

This program tracks all events where sewage leaves the utility's collection or transmission system before treatment (i.e., overflows to land, directly to waters, or indirectly to waters by storm drains or other paths). The program uses standardized forms which record, at minimum, the following information for response and inclusion in the IMS:

- ❖ Location of the discharge
- ❖ Name of the receiving water and description of the pathway (e.g., storm drain)
- ❖ Estimation of the discharge volume and the method of estimation
- ❖ Description of the system component that is source of the discharge
- ❖ Date and time the discharge started and stopped
- ❖ Root cause, or suspected root cause, of the discharge
- ❖ Steps taken to eliminate the discharge and steps taken to prevent reoccurrence.

## 7. Financial Analyses

### a. Cost Analysis Program

This program regularly analyzes and projects future utility management, operations, and maintenance costs needed to properly implement these utility programs. The cost analyses include, at a minimum: overhead, labor and equipment, financial impacts of outsourcing certain activities, overtime, and the financial impacts imposed by organizational departments or agencies outside the utility. Cost analyses are performed for all management, operations, and maintenance equipment and the capital infrastructure investment. Cost analyses incorporate life cycle depreciation and establish cost-effective points for replacement. The program has a mechanism for including such replacement points in the IMS.

### b. Capital Improvement Financing Program

This program analyzes, projects, plans and finances capital improvement needs established through proper engineering study. Capital improvement financing is planned using a five (5) year planning horizon with annual updates.

**c. Budget and Customer Rate Program**

This program establishes the annual utility budget and recommends customer rates. The program assures that the budget and funding provided by customer rates will meet the cost and capital financing needs set by programs 7(a) and 7(b) above.

**8. Equipment and Supplies**

**a. Spare Parts Inventory Program**

This program ensures proper management of the utility spare parts inventory including spare pipe. The program includes adequate parts storage facilities, identification and retention of an adequate number of critical spare parts (i.e., those which are difficult to obtain quickly but critical to proper operations), control of access to spare parts, an organized system for inventory management (either manual or computerized), arrangement with local vendors for common parts, and specification of spare parts to be carried on vehicles.

**b. Equipment and Tools Inventory Program**

This program ensures proper management of the utility equipment and tools inventory. The program includes adequate equipment and tools storage facilities, control of access to equipment and tools, an organized system for inventory management (either manual or computerized), and specification of equipment and tools to be carried on vehicles.

**c. Vehicle Repair Program**

This program ensures proper management of utility vehicles. The program includes provisions for vehicle maintenance and vehicle repair. Performance measures for the program will consider turn-around time, cost factors, contract maintenance, and the life cycle cost analysis performed for vehicles.

**9. Customer Service**

**a. Complaint Management Program**

This program ensures proper complaint management. The program includes written standard management procedures for dispatchers (i.e., dispatch priorities, work order generation, and standardized complaint and problem codes). The program uses an organized record keeping procedure (including the use of standardized forms) which facilitates tracking work orders and follow-up with customers, and uses a mechanism to evaluate response performance and supply this information to the IMS.

**b. Public Information Program**

This program communicates utility activities which may closely impact the public (e.g., smoke testing, major construction or maintenance, or emergency maintenance), and ensures communication of activities which may coincide with those of other departments and agencies (e.g., street paving).

**c. Public Education Program**

This program educates the public and solicits support regarding issues such as service lateral maintenance, grease management, food disposals, inflow sources,

maintenance/rehabilitation needs requiring increased rates, and problems caused by basement sump pumps.

## **10. Legal Support**

### **a. Inter-Jurisdictional Agreement Program**

This program develops, negotiates, and enforces agreements with neighboring utilities which send the utility flow or with major volume sewer customers. The program ensures that the agreements require the second party to have proper management, operation, and maintenance programs so the utility's infrastructure is not stressed by problems originating across jurisdictional boundaries. The program also ensures the agreements address flow-based capacity issues, specify the life of the agreement, have credible provisions for enforcement, and have provisions for modification.

### **b. Sewer Ordinance Program**

This program develops, revises, and amends sewer ordinances as needed to support the proper management, operation, and maintenance of the utility. The program provides adequate legal authority for the utility regarding sewer use, grease management, pretreatment, private service laterals, sump pumps and roof drains, private haulers, recovering costs of damage to utility infrastructure, and other legal authorities as required. Legal support is provided for case work and guidance for utility staff.

## **11. Water Quality Monitoring**

### **a. Routine Monitoring Program**

This program determines the existence of unpermitted discharges originating at locations where sewers cross waterways or at other isolated or remote sewer locations. The program includes scheduled sampling during dry weather periods from a network of monitoring stations. The program also includes a map of the sampling network, and formally establishes sampling frequency, sampling parameters (i.e., fecal coliform and others), standard sampling procedures, quality assurance/quality control procedures, and a mechanism for including program information in the IMS.

### **b. Investigative Monitoring Program**

This program determines the source of industrial, commercial, or sanitary wastewater resulting from cross connections with the stormwater drainage system, and typically activates through complaints or discovery by operations personnel. The program has formally established sampling parameters (i.e., fecal coliform and others), standard sampling procedures, quality assurance/quality control procedures, and a mechanism for including program information in the IMS.

### **c. Impact Monitoring Program**

This program determines the impact of pollution resulting from discharges occurring within the utility infrastructure before treatment. Combined with the reporting programs described in Overflow Tracking (6) above, this program assists the utility, regulatory authorities, and public health authorities determine the appropriate response to protect health and/or the environment. The program has formally established sampling parameters (i.e., fecal coliform

and others), standard sampling procedures, quality assurance/quality control procedures, and a mechanism for including program information in the IMS.

## 12. Contingency Plan for Utility Infrastructure

### a. Contingency Planning Program

This program develops and modifies contingency plans for the sewer system and the treatment facilities that will be implemented during emergency situations. The planning process includes a preparedness committee of senior and experienced management and field personnel. A system overview is conducted to determine vulnerability to a variety of events which may be due to utility failures, natural causes, or failures caused by another party. Based upon these hypothetical events and past experience taken from root cause failure information in the IMS, prediction system component failure is made. Strategies to timely repair or overcome such component failures are developed, and the six (6) major contingency plan components are available in writing: public notification, agency notification, emergency flow control, emergency operation and maintenance, preparedness training, and water quality monitoring (described in 11(c) above).

#### i.) Public Notification

The public notification component includes a set of criteria, developed with input from local public health authorities, which are used as a basis for initiating public notification; a step-by-step procedural flow diagram; a list of manager names and phone numbers; a plan for regular business hours, off-hours, weekends, and holidays; a list of *Public Contacts* with phone numbers; identification of managers authorized to give statements; and pre-scripted news releases.

#### ii.) Agency Notification

The agency notification component includes a set of criteria, developed with input from appropriate local, State, and Federal authorities, which are used as a basis for initiating agency notification; a step-by-step procedural flow diagram; a list of manager names and phone numbers; a plan for regular business hours, off hours, weekends, and holidays; a list of *Agency Contacts* with phone numbers; identification of personnel authorized to contact agencies; and copies of standard reporting forms used by the agencies.

#### iii.) Emergency Flow Control

The emergency flow control component is used to reduce overflow volumes and pollution where possible. The component includes a set of criteria which are used as a basis for initiating emergency flow control procedures; a step-by-step procedural flow diagram; a list of manager names and phone numbers; a plan for regular business hours, off-hours, weekends, and holidays; a list of *Emergency Flow Control Contacts* with phone numbers; identification of personnel authorized to initiate the emergency flow control program; and standard emergency flow control reporting forms.

Flow control activities may include flow re-routing, flow diversion, household flow reduction and advisories, commercial flow reduction and advisories, water pressure reduction and advisories, or use of pretreatment program protocols set forth in permits for

significant industrial users. The initiating criteria, reporting forms and report formats should be developed in cooperation with significant industrial users and appropriate local, State, and Federal authorities.

**iv.) *Emergency Operation and Maintenance***

The emergency operation and maintenance component includes a set of criteria which are used as a basis for initiating emergency operation and maintenance procedures; a step-by-step procedural flow diagram; a list of manager names and phone numbers; a plan for regular business hours, off-hours, weekends, and holidays; a list of *Emergency Operation and Maintenance Contacts* with phone numbers; identification of personnel authorized to initiate emergency operation and maintenance procedures; and standard reporting forms.

The initiating criteria, reporting forms, and report formats should be developed in cooperation with utility's insurance representatives, State and Federal emergency management agencies, and the State regulatory authority. Further, development of the emergency operations and maintenance component should include analyses of the need and use of stand-by equipment (prearranged rentals), stand-by contractors, and access to critical spare parts.

**v.) *Preparedness Training***

The preparedness training component ensures that all personnel are fully aware of procedures and able to efficiently implement the Contingency Plan. The preparedness training component includes specialized training courses, field trials, and special emergency situation safety training.

**b. Response Flow Diagram**

This diagram includes the roles of senior management and field personnel and shows the relationship of the six (6) major contingency plan components: public notification, agency notification, emergency flow control, emergency operation and maintenance, preparedness training, and water quality monitoring.

## **OPERATION PROGRAMS**

### **1. Pump Station Operation**

#### **a. Preventive Operation Program**

This program ensures reliable operation of the transmission system through use written standard operating procedures available for both manned and unmanned stations. Procedures may include reading and recording information from pump run-time meters, or start counters, or taking amperage readings; recording wet well conditions and grease accumulation; checking and resetting (as necessary) wet-well set points; checking and recording system pressure; checking remote monitoring and alarm equipment components; checking operation of alarms and stand-by power; and reporting maintenance needs. The program has established schedules, routes, priorities, standard forms, performance measures, and a mechanism for including program information in the IMS.

#### **b. Reactive Operation Program**

This program ensures timely response to atypical situations in the transmission system through use of written standard operating procedures available for both manned and unmanned stations. Procedures may include initiating auxiliary power with portable generators, installing portable pumps during high flow, or initiating the Contingency Plan. The program has established standard forms and reporting procedures, performance measures, and a mechanism for including program information in the IMS.

### **2. Pretreatment Program**

This program ensures that operation of the utility's treatment facility is protected from pollutant pass-through or interference. If a utility has industrial or commercial users it may have this program which includes industrial user identification, permitting, monitoring and inspections, enforcement, and other components. Personnel involved with the utility pretreatment program will have frequent communication with operation and maintenance personnel to detect possible pretreatment permit violations. The program has standard operating procedures, performance measures, inspection schedules, and a mechanism for including program information in the IMS.

### **3. Corrosion Control Program**

This program provides for inspection of the utility infrastructure for corrosion caused by hydrogen sulfide or other corrosives, the development and implementation of site-specific corrosion control measures, a monitoring program to evaluate corrosion control measures, program performance measures, and a mechanism for including program information in the IMS.

### **4. Fats, Oils, and Grease Control Program**

This program prevents fats, oils, and grease from entering the utility infrastructure, therefore preserving sewer capacity, prolonging the infrastructure life, reducing overflow events, and saving the utility maintenance costs. The program includes a grease control ordinance, grease trap and interceptor design standards, permitting and inspecting commercial grease traps and interceptors, a credible enforcement component, a public education component for residential sources, performance measures, and a mechanism for including program information in the IMS.

## **5. Service Connection/Disconnection Program**

This program includes written standard procedures for new sewer tap installation or for sewer disconnection; inspection of all new service connections to, or disconnections from, the utility sewer; a credible enforcement program; performance measures; and a mechanism for notifying personnel in the Mapping Program or including program information in the IMS.

## **6. Private Haulers Program**

This program issues permits to private commercial or septic tank waste haulers discharging to the utility, and includes written standard operating procedures for inspection/sampling of the haulers, a credible enforcement program, program performance measures, and a mechanism for including program information in the IMS.

## **7. Line Location Program**

This program responds to requests for utility sewer line locates, and includes written standard line location procedures, defined prioritization to assist scheduling, appropriate staffing and equipment for the average number of requests, standard line location procedures, standard forms, performance measures, and a mechanism for including program information in the IMS.

## **MAINTENANCE PROGRAMS**

### **1. Pump Station Preventive Maintenance**

#### **a. Pump Station Repair Program**

This program is a reactive maintenance component intended to repair pump stations that are currently in a state of disrepair but still cost-effective to service. The program includes established priorities for pump station repairs, maintaining an ongoing inventory of completed repairs, a work schedule for pump station repairs, and a mechanism for including pump station repair information in the IMS. Upon completion of pump station repairs, service activities are transferred to the pump station Preventive maintenance program.

#### **b. Electrical Maintenance Program**

This program is a component of the pump station Preventive maintenance program. The program includes an established number of crews and personnel required to perform effective electrical maintenance, written standard electrical maintenance procedures, scheduling Preventive maintenance, standard forms, performance measures, and a mechanism for including electrical maintenance information in the IMS.

#### **c. Mechanical Maintenance Program**

This program is a component of the pump station Preventive maintenance program. The program includes an established number of crews and personnel required to perform effective mechanical maintenance, written standard mechanical maintenance procedures, scheduling Preventive maintenance, standard forms, performance measures, and a mechanism for including mechanical maintenance information in the IMS.

#### **d. Physical Maintenance Program**

This program is a component of the pump station Preventive maintenance program. The program includes an established number of crews and personnel required to perform effective physical maintenance, written standard physical maintenance procedures, scheduling, standard forms, performance measures, and a mechanism for including physical maintenance information in the IMS.

### **2. Gravity Line Preventive Maintenance**

#### **a. Routine Hydraulic Cleaning Program**

This program includes accurately determined cleaning needs, established priorities and scheduled cleaning activities, support of an appropriate number of crews and personnel, acquired necessary equipment (e.g., Jet Unit, Combination Unit, etc.), written standard hydraulic cleaning procedures, standard forms, performance measures, and a mechanism for including hydraulic cleaning information in the IMS.

#### **b. Routine Mechanical Cleaning Program**

This program includes accurately determined cleaning needs, established priorities and scheduled cleaning activities, support of an appropriate number of crews and personnel, acquired necessary equipment (e.g., Rodders, Bucket Machine, etc.), written standard mechanical cleaning procedures, standard forms, performance measures, and a mechanism

for including mechanical cleaning information in the IMS.

**c. Root Control Program**

This program includes accurately determined root control needs, established priorities and scheduled activities, support of an appropriate number of crews and personnel, acquired necessary equipment (e.g., mechanical, chemical, etc.), written standard root control procedures, standard forms, performance measures, and a mechanism for including root control information in the IMS.

**d. Manhole Preventive Maintenance Program**

This program includes accurately determined manhole maintenance needs, established priorities and scheduled activities, support of an appropriate number of crews and personnel, acquired necessary equipment (rings and lids, structural repair, etc.), written standard manhole maintenance procedures, standard forms, performance measures, and a mechanism for including manhole maintenance information in the IMS.

**3. Air Valve Preventive Maintenance Program**

This program provides for inspection and maintenance of air valves located on force mains (including regular valve exercise). The program includes an established number of crews and personnel required to perform effective Preventive maintenance, written standard air valve maintenance procedures, scheduling, standard forms, performance measures, and a mechanism for including air release valve maintenance information in the IMS.

**4. Maintenance of Way**

**a. Maintenance of Rights-of-Way and Easements Program**

This program includes accurately determined maintenance needs, established priorities and scheduled activities, support of an appropriate number of crews and personnel (based on the number of waterway crossings and/or miles of sewer off-street), written standard maintenance procedures, standard forms, performance measures, and a mechanism for including maintenance information in the IMS.

**b. Street Paving Monitoring Program**

This program includes accurately determined monitoring needs, established priorities and scheduled activities, coordination with storm drain projects and street and highway officials, support of an appropriate number of crews and personnel, acquired necessary equipment (e.g., manhole and valve raising, etc.), written standard monitoring procedures, standard forms, performance measures, and a mechanism for including monitoring information in the IMS.

**5. Reactive Maintenance Program**

This program provides response to customer complaints or other unscheduled system problems forwarded by dispatchers. The program includes support of an appropriate number of crews and personnel, written standard response procedures including a protocol for initiating the Contingency Plan, standard forms, collection of information in support of failure analysis, sewer map availability, performance measures, and a mechanism for including reactive maintenance information in the IMS.

**SYSTEM PROFILE AND PERFORMANCE SUMMARY**

A proactive utility will maintain a profile of its system as a basis for explaining its situation to regulatory agencies, the public, and when networking with other utilities. A profile typically contains basic population and inventory information as well as a recent system performance summary. An example of a system performance summary is provided on the following page.

**Population Served:** ..... \_\_\_\_\_

**Number of Customers:** ..... \_\_\_\_\_

**Number of Treatment Plants:** ..... \_\_\_\_\_

**Total Wastewater Design Treatment Capacity:** \_\_\_\_\_

**Total Volume of Wastewater Treated:** ..... \_\_\_\_\_

**Miles of Gravity Sewers:** ..... \_\_\_\_\_

**Number of Manholes:** ..... \_\_\_\_\_

**Number of Inverted Siphons:** ..... \_\_\_\_\_

**Number of Pump Stations:** ..... \_\_\_\_\_

**Miles of Force Main:** ..... \_\_\_\_\_

**Number of Employees:** ..... \_\_\_\_\_

**Annual Capital Improvement Budget:** ..... \_\_\_\_\_

**Annual Operation and Maintenance Budget:** ... \_\_\_\_\_

**Total Annual Operating Budget:** ..... \_\_\_\_\_

## EFFICIENCY MADE EASY

Promotes water efficient products and practices, saving H<sub>2</sub>O and electricity. Partners receive recognition and use of EPA logo.

~ Success story: Georgia's Cobb County replaced 1682 toilets with low flow saving 9.5 million gal/yr. [www.epa.gov/watersense](http://www.epa.gov/watersense)

Artie Buff, 404-562-9336



Water conservation in action.

## PERFORMANCE TRACK

Go above and beyond legal requirements. Benefits: Reduced Reporting under Maximum Achievable Control Technology (MACT), Extended Accumulation for RCRA Waste, and more.

~ Success story: Rohm and Haas Electronic Materials replaced burner control sections with high-efficiency motor controllers. Saving \$49,000/yr, and reducing energy use by 3.7 billion BTU/yr. [www.epa.gov/performancetrack](http://www.epa.gov/performancetrack)

Reggie Barrino, 404-562-9635

## ENERGY STAR

Save money through energy efficient products and practices. Covers 50 product categories. In 2007, program saved consumers \$16 billion in energy costs.

~ Success story: Marriott instituted various energy saving techniques saving \$6 million; 3M increases energy efficiency 9%, saves \$10 million. [www.energystar.gov](http://www.energystar.gov)

Partnership with EPA that reduces the use of any of the 31 Priority Chemicals (e.g. Lead, Polycyclic Aromatic Hydrocarbons (PAHs)).

~ Success stories: Wire rope Works eliminated 27,000 lbs. Lead, Saving \$50,000/yr. [www.epa.gov/epawow/hazwaste/minimize/partnership.htm](http://www.epa.gov/epawow/hazwaste/minimize/partnership.htm)

Dave Langston, 404-562-8478



## WASTE WISE

Information geared towards municipal solid waste and select industrial wastes (e.g. packaging, paper, wood pallets, batteries) Free technical assistance, case studies, and public recognition/awards.

~ Success story: Pepsi switched from corrugated to reusable shipping, saving \$44 million. [www.epa.gov/wastewise](http://www.epa.gov/wastewise)

Rhonda Rollins, 404-562-8664



Wooden pallets being prepared for reuse.

## RESOURCE CONSERVATION CHALLENGE (RCC)

Save money and energy - Manage materials more efficiently through recycling and reuse. [www.epa.gov/rcc](http://www.epa.gov/rcc) [www.spa.gov/region4/recycle](http://www.spa.gov/region4/recycle)

~ Success story: Rooms To Go's comprehensive recycling program grossed over \$1 million in 2007. Dee Rodgers-Smith (Solid Waste), 404-562-8688  
Mary Beth Van Pelt (Organics), 404-562-8615  
Kim Clifton (E-Waste), 404-562-8477  
Steve Smith (C&D), 404-562-8501



# Make your pockets GREENER with Voluntary Programs



## STATE POLLUTION PREVENTION (P2) RESOURCES

Find all the P2 State contacts at:

<http://wrrc.p2pays.org>

EPA partnership programs and general P2

[www.epa.gov/partners](http://www.epa.gov/partners) and [www.epa.gov/p2](http://www.epa.gov/p2)

Buy environmentally responsible computers  
[www.epeat.net](http://www.epeat.net)

Recycling opportunities for practically everything.  
[www.earth911.org](http://www.earth911.org)

Best management practices/Lower plant energy bills  
[www1.eere.energy.gov/industry](http://www1.eere.energy.gov/industry)

## ADDITIONAL SUCCESS STORIES

~ EPA's Colorado Lab—Reduces water usage 50%, saving 650,000 gallons, and \$1,900/yr.  
~ Retail complex in Oregon uses native landscaping—maintenance costs reduced 80%, and water bill \$2,400.  
~ Fiberglass Mfr. reduces waste acetone by 80%, goes from Small Quantity Generator (SQG) to Conditionally Exempt Small Quantity Generator (CESQG).

## INDUSTRY SECTOR NOTEBOOKS

Profiles environmental challenges for more than 35 manufacturing, transportation and agricultural sectors. Covers typical operations, pollutants, regulations, P2 opportunities, common environmental violations, and voluntary initiatives.

[www.epa.gov/compliance/sectornotebooks.html](http://www.epa.gov/compliance/sectornotebooks.html)

**United States Environmental Protection Agency**  
Mention of trade names, products, or services does not convey official EPA approval, endorsement, or recommendation.

## SECTOR-SPECIFIC REGULATORY COMPLIANCE ASSISTANCE

### COMPLIANCE ASSISTANCE CENTERS

Make sense of environmental regulations, in terminology directly related to your industry. Save money on compliance and reduce wastes. Sectors include: chemicals, printing, auto repair, and more.

[www.epa.gov/compliance/assistance](http://www.epa.gov/compliance/assistance)

Wesley Hardegree, 404-562-9629



*Mills like the one above can get help with environmental regulations.*

## INDUSTRY SECTOR NOTEBOOKS

EPA has over 60 voluntary programs to help you reduce waste, understand legal requirements, and save millions; with flexible, market-driven solutions. Other companies have saved millions of dollars...and so can you!



**ENVIRONMENTAL  
PROTECTION AGENCY  
REGION 4**

61 Forsyth St.

Atlanta, GA 30303

[www.epa.gov/region4](http://www.epa.gov/region4)

For More Information Contact  
Waste Reduction Resource Center  
1-800-476-8686



**EPA Region 4  
Introduction to Conducting Evaluations  
of  
Municipal Wastewater Collection System  
Management, Operation, and Maintenance Programs**

**Version 1.0**



**PURPOSE & DISCLAIMER**

This document is the work product of the EPA Region 4, Water Management Division, Water Programs Enforcement Branch (WPEB) and supercedes a 10-30-1996 draft previously released. This document serves as an introduction for new Region 4 inspectors in the WPEB Municipal Infrastructure Enforcement Program and as introductory information for utilities invited to participate in the Region 4 Management, Operation, and Maintenance (MOM) Programs Project. Questions in this document are provided to initiate the thought process necessary for conducting an evaluation of a collection system. Formal instruction for conducting an evaluation under the MOM Programs Project is provided in separate literature.

The MOM Programs Project is conducted in compliance with EPA Policy, EPA Guidance, and Rules and Regulations promulgated under the Clean Water Act. If some statement or part of the document is not in compliance with the Act, EPA Policy, EPA Guidance or the Rules and Regulations, then it should not be construed as conveying rights not conveyed by the Clean Water Act, EPA Policy, or the Rules and Regulations.

September 2003

# Introduction

Many collection systems have received minimal maintenance for many years. This has resulted in deteriorated sewers with a high potential for overflows, cave-ins, hydraulic overloads at treatment plants, and other problems. There are two central reasons for conducting an evaluation of a municipal collection system:

## Public and Environmental Health

Sanitary sewer overflows (SSOs) are a frequent cause of water quality violations. Beach closings, flooded basements, closed shellfish beds, and overloaded water treatment plants are a few of the symptoms of an inadequate collection system. Streams influenced by frequent SSOs support only the hardiest of species.



## Legal Considerations

A discharge permit issued through the National Pollutant Discharge Elimination System (NPDES) requires that the "permittee shall at all times properly operate and maintain all facilities and systems of treatment and control (and related appurtenances) that are installed or used by the permittee to achieve compliance with the conditions of this permit." SSOs may be considered a violation of this permit provision.



SSOs may also be considered an unpermitted discharge of pollutants from a point source, as defined in the Clean Water Act.

A goal of the collection system evaluation should be to discover if a utility is plagued by overflows and/or bypasses within its system of conveyance to a treatment facility. If so, what are the impacts? Is the utility aware of the problem? Are they taking appropriate steps to address the problem in a timely manner and prevent future reoccurrence?

# Management

The first stop on any evaluation should be the “home office.” This location is a point of administration, and may include functions such as utility management, finance, engineering, planning, procurement, warehousing, personnel, or legal review. In a large city, this work may be split between different departments. A small town may have only one or two people doing some of these activities. Much of the information needed from this source can be obtained before the evaluation by a written request. Areas of review should include:



## ✓ *Financial Administration*

EPA and others have published guidance on the financial aspects of operating a wastewater utility. This is the single most important aspect of utility operation. Inadequate funding diminishes the chances for success.

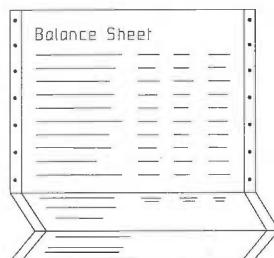
### User Rate/User Charge

- What are the utility’s current rates?
- How are user rates calculated?
- How often are user charges adjusted based on that evaluation?
- Does the utility receive full funding from its revenue?
- Are utility funds used for other government activities?



### Budget

The utility should be operating on an annual budget that details funding for all functions.



- Does the utility budget for annual operating costs?
- Does the budget provide sufficient itemization?
- Does the utility maintain a fund for future equipment and infrastructure replacement? How is work financed?

- Does the budget provide for sufficient funding?

#### **Public Education/Outreach**

The utility should be talking with the public on issues such as user rates and charges. It is up to the utility to educate the public on wastewater treatment, its impact on water resources, and the importance of keeping the user rates current. By maximizing resources and operating facilities efficiently, the utility may be able to delay increases in user rates for a short time. Adjustments for more efficient operation should be made before approaching the public on these issues.



- What type of public education/outreach programs does the utility have about the use of income from utility rates?
- Do these programs include communication with several groups such as local governments, community groups, the media, young people (schools, youth organizations)?

#### **✓ Personnel Administration**

##### **Organization**

- Is an organizational chart available which shows the various positions budgeted and filled?
- Are position descriptions available?

##### **Operator Safety Program**

A utility can have several levels of a safety program. It should consist of top administration, a safety department, a safety committee, and field personnel. For a small utility, top administration could be the mayor while a large utility could employ a personnel manager. All utilities should have a safety program that includes a safety policy, safety training and promotion, and accident investigation and reporting.



- Is there a documented safety program supported by a top administration official?
- Is there a safety department that provides training,

equipment, and an evaluation of procedures?

- Are all operators required to follow safe work procedures, such as the use of protective clothing and headgear, confined spaces, lock-out/tag-out policies, etc.?
- Is there a confined space entry procedure for manholes, wet wells, etc.?
- How often are safety procedures reviewed and revised?
- Does the safety department communicate with field personnel on safety by a procedures memo, direct communication, a video, etc.?

### **✓ Equipment and Tools Administration**

The amount and types of equipment and tools held by a utility depend on the size, age, and condition of the system. The decision as to the type and amount of equipment to have on hand is a difficult one. A small utility may find it hard to justify the purchase of expensive, specialized equipment. The utility must identify the problems in the collection system and arrange for the appropriate tools and equipment accordingly. An alternative to purchasing is leasing, contracting, or sharing costs with other communities.



- Is there a list of equipment and tools used for operation and maintenance?
- Do field personnel feel they have access to the necessary equipment and tools to do all aspects of the operation and maintenance of its collection system?
- Is there access to suitable equipment if the utility's equipment is down for repair?
- Does the utility own or have ready access to a sufficient number of emergency power generators?
- Where does the utility store its equipment?
- Is a detailed equipment maintenance log kept?
- Are written equipment maintenance procedures available?

- What is the procedure for equipment replacement?
- If an in-house motor pool is used, what is the turnaround time for service?

Equipment that has reached its useful life should be replaced. To reduce the financial burden of equipment replacement, a fund should be established for equipment replacement. A utility should keep detailed records on the cost of operating the equipment to make good decisions about equipment replacement.

### ✓ *Legal Administration*

The utility should have legal documents to protect its collection system. Typically, sewer ordinances exist to satisfy Clean Water Act pretreatment regulations and to assure the utility's compliance with its NPDES permit. A legally sound sewer ordinance will give the utility retribution when corrosive and/or toxic materials are introduced into the collection system. Another important element is a grease control ordinance. Grease traps should be inspected by the utility for compliance. Some utilities choose to permit each trap owner.

- Is there a sewer use and a grease control ordinance?
- Is there active enforcement of the sewer and grease control ordinances?
- Are all grease traps inspected regularly?
- How does the utility learn of new or existing grease traps?
- Who is responsible for enforcing the sewer ordinance and grease ordinance? Does this party communicate with the utility department on a regular basis?
- Are there any significant industrial dischargers to the system?
- Is there a pretreatment program in place?



## ✓ Engineering Administration

### System Mapping and As-Built Plans

The utility should have an overall map of the collection system with sufficient detail to allow easy interpretation. There should be a collection system inventory organized by plant service areas that include the following information:



Gravity Lines:	Lineal feet by diameter
Manholes:	Number
Pump Stations:	Number by type
Force Mains:	Lineal feet by diameter
Air Release Valves:	Number and location
Inverted Syphons:	Number and location
Other Major Appurtenances:	Number and location
Service Population	By facility service area

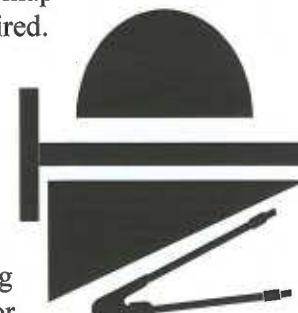
A sewer atlas detailing the location of the above items should be available. The type of sewer atlas used by the utility will depend on their needs and resources. A large metropolitan utility may find that a sophisticated, computerized mapping system is required. A small community may be satisfied with a hand-drafted version.

- What type of mapping/inventory system is used?
- Is there a procedure for recording changes and updating the mapping system?

Mapping and inventory revisions should occur when there are changes in the collection system such as additions or repairs. Comprehensive maps of the system should be printed annually for large utilities, and a staff of "mappers" will likely be required to keep the maps up to date. Utilities may alternatively choose to contract map services. This is especially true if much catch-up work is required.

### Design and Capacity Analysis

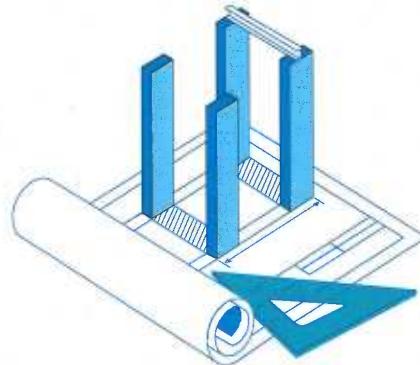
Through the interview and document review process, the evaluator should discover design procedures and the criteria needed for new work. In particular, the evaluator should discover how the utility determines the adequacy of the existing system for transmitting and treating future flows. The evaluator should discover what control the utility has over new connections to the system.



- Is there a document which details the design criteria and standard construction details for gravity sewers, force mains, and pump stations?
- Is there a document that describes the procedures that the utility follows in conducting a design review? Are there any standard forms that guide the utility?
- What procedures are used in determining whether the existing sewer system capacity is adequate for new connections?
- Is any flow metering accomplished prior to allowing new connections?
- Is there a mathematical model of flow in the system used to predict the effects of new connections?
- Is any certification required which attests capacity is available for a new connection before it is made?

### **Construction**

Through the interview and document review process, the evaluator should determine what procedures the utility uses to inspect and test new construction. These activities are important to ensure that new facilities do not contribute to future operation and maintenance problems. Excessive infiltration and inflow problems can exist with new construction if not properly built.



- Is there a document that describes the procedures that the utility follows in conducting their construction inspection and testing program? Are there any standard forms that guide the utility in conducting their construction inspection and testing program?
- Is new construction inspected by the utility or others?
- What are the qualifications of the inspector(s)?
- Is inspection supervision provided by a registered Professional Engineer?
- How is new construction tested? (air, water, weirs, etc.)
- Is new construction televised using closed-circuit camera techniques?
- Is new construction built to standard specs set by the local utility and/or the State?

- Is there a warranty for new construction? If so, is there a warranty inspection done at the end of this period?

### **Sewer System Evaluation Survey (SSES) and Rehabilitation**

The SSES and sewer rehabilitation program is a structured methodology for finding the holes in a system and fixing them. Cost analysis is the major factor in determining the scope of rehabilitation. Due to the requirements of EPA's Construction Grants Program, many systems did evaluation surveys as a condition of their grant. Some systems also received grant funds for rehabilitation.

The SSES is a two-phase operation. The first phase is to gather preliminary information and technical data. Flow monitoring, records and map evaluations, and system inspection are some of the tasks to be completed. Prioritizing areas for further evaluation is the end result of phase one.

The second phase is to conduct further testing of the prioritized sewer areas identified in the preliminary phase and analyze these results. Rehabilitation recommendations based on a cost-effective analysis is the end result of phase two and concludes the SSES.

Rehabilitation may consist of a variety of techniques designed to reduce inflow and infiltration into the sewer system. Many methods are available with highly variable costs and service lives. Rehabilitation costs are usually significantly less than replacement costs.

SSES and rehabilitation activities are best described as a highly intensive program of operation and maintenance. Because over time many utilities have neglected proactive operation and maintenance of their sewer systems, these activities are often used to "catch-up" to a condition which can be maintained on a regular basis. Many of the techniques used in SSES and rehabilitation activities are described in the Operation and Maintenance section of this document, and should also be elements found in a proactive operation and maintenance program.

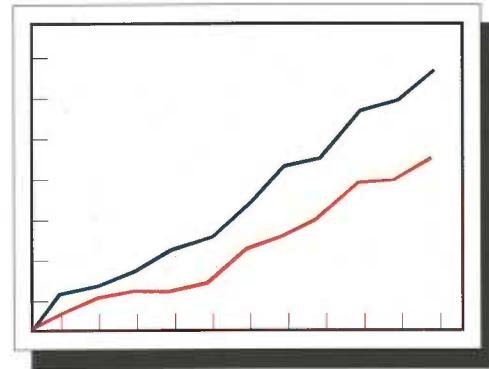
- Have SSES activities been performed in the past? If so, is documentation available?
- Has any sewer rehabilitation work been done in the past 15 years?
- How many sanitary sewer overflows have occurred in the last year?
- Is there a record?



### ✓ *Water Quality Monitoring*

Monitoring streams in the service areas can help identify problems in the collection system such as leaking pipes, washed-out stream crossings, and other pollution sources which could be attributed to the sewer system. Fecal Coliform is a common parameter monitored to detect potential contamination from sewers.

- Is there a water quality monitoring program in the service areas?
- If so, what parameters are monitored and at what frequency?
- How many locations are monitored?



### ✓ *Management Information Systems*

A management information system uses data from work reports prepared by field personnel to optimize the operation and maintenance of the collection system. A powerful tool, the information system is used as an aide to schedule preventive and reactive work on the system. It can also be used to measure efficiency, and track and develop costs.

- What types of work reports are prepared by the field personnel?  
Examples include:
  - Main Sewer Construction
  - Main Sewer Maintenance
  - Main Sewer Repair
  - Structure Maintenance
  - Structure Repair or Abandonment
  - Building Sewer Maintenance
  - Building Sewer Repair
- Do the work reports include complete and useful information?
- How are records kept?
- Does the facility use computer software to manage information? If so, what type of systems are used?

- What kind of management reports are generated from the work report data?

Examples include:

- Payroll
- Production
- Work Costs
- System Inventory
- Main line maintenance history
- Service line maintenance history
- Main and service line repair history

### **Performance Indicators**

Performance indicators are used to determine the condition of the system. These indicators are not absolute because there may be other reasons to suggest a less than adequate system condition. However, if several of the factors indicate possible problems, further investigation is warranted.

- What is the per capita wastewater flow for the maximum month, week, and day?

EPA considers Infiltration/Inflow (I/I) to be excessive if the total daily flow during periods of high groundwater exceeds 120 gallons per capita per day (gpcd), and during a storm event exceeds 275 gpcd.

- What is average annual BOD of the treatment facility influent?

An average of much less than 200 mg/L may indicate excessive I/I.

- What is the ratio of maximum wet weather flow to average dry weather flow?

A review of 10 case studies by EPA found that peak wet weather flow ranged from 3.5 to 20 times the average dry weather flow. Typically, as the ratio approaches 4 to 5, the likelihood of surcharge and overflow increases.

- What is the annual number of overflows, and what are the causes (i.e., grease blockages, debris blockages, pump malfunctions, overloaded sewers, lift station power loss, etc.)?
- What is the annual number of sewer cave-ins? What were the causes (i.e., pipe corrosion, root intrusion, leaks, etc.)?

✓ *Complaints*

- How are public complaints handled?
- What are the common complaints received?
- How often are these complaints reported?
- Is there a record?
- Does the utility have a procedure in place to evaluate and respond to complaints?

✓ *Public Relations*

- Is there a public relations program in place?
- Are the employees of the utility trained in public relations?
- What type of public notification is given for treatment plant upsets or collection system overflows?
- Is the public notified prior to major construction or maintenance work?
- How often does the utility communicate with other municipal departments?

✓ *Emergency Maintenance and/or Contingency Plans*

- Does the utility have a written emergency maintenance plan?
- What type of equipment does the utility have available for emergency maintenance? How quickly can the utility access that equipment in case of an emergency?

✓ *Spare Parts Inventory Management*

- Does the utility have a central location for the storage of spare parts?
- Have spare parts which are difficult to obtain, but critical to operation been identified?
- Does the utility maintain a stock of common spare parts on its maintenance vehicles?

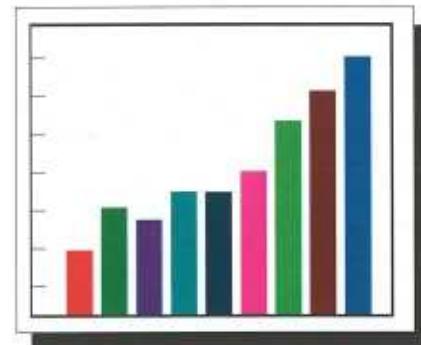
- What methods are employed to keep track of the location, usage, and reordering of spare parts? Are parts logged out when taken by maintenance personnel for use?
- Does the utility salvage specific equipment parts when equipment is placed out of service and not replaced?
- How often does the utility conduct a check of the inventory of parts to ensure their tracking system is working?
- Who has the responsibility to track the inventory?

## Operation and Maintenance

The operation and maintenance (O&M) of a wastewater collection system is a difficult undertaking. Besides keeping the system in good working order, a proper O&M program should convey all wastewater to the treatment plant. A well-operated system will employ many, if not all, of the techniques described in this section.

### ✓ Maintenance Scheduling

- Does the utility schedule its maintenance activities?
- How are priorities determined?
- How is the effectiveness of the maintenance schedule measured?



### ✓ Sewer Cleaning

Sewer utilities have been cleaning lines for a long time. Most sewer cleaning programs have been directed towards emergency situations which occur due to stoppages. A better O&M program will have regular cleaning schedules for the system.

- Is there a routine schedule established for cleaning sewer lines on a system-wide basis (e.g., "once every seven to twelve years," or "between 8% and 14% per year"?)

- Is there a process present to identify sewer line segments that have chronic problems and that should be cleaned on a more frequent schedule?

### **Cleaning Equipment**

Mechanical cleaning equipment, such as a rodding device or bucket machine, has been the mainstay of utility cleaning operations for a long time. Though this type of equipment is still in use, hydraulic cleaning equipment which uses water pressure directed through a nozzle has generally replaced the need for mechanical equipment.

- What type of cleaning equipment does the sewer utility use?
- How many cleaning units of each type does the utility have?
- How many cleaning crews and shifts does the utility employ?
- How many cleaning crews are dedicated to routine cleaning?
- How many cleaning crews are dedicated to emergency cleaning?
- What has the utility's experience been regarding pipe damage caused by mechanical cleaning equipment?
- Where is the cleaning equipment stationed?

### **Chemical Cleaning and Root Removal**

Roots are a major cause of stoppages in many systems, so root removal and control is an important utility operation.

- Does the utility have a root control program?
- Are chemical cleaners used? What types?
- How often are they applied?
- How are the chemical cleaners applied?
- What results are achieved through the use of chemical cleaners?

## ✓ *Hydrogen Sulfide Monitoring and Control*

The presence of hydrogen sulfide gas in gravity and pressure sewer lines can, and often does, lead to serious and catastrophic corrosion of concrete pipes and the metallic components of sewer systems. Hydrogen sulfide corrosion is usually a problem in areas having little topographic relief where there may be long travel times. Hydrogen sulfide corrosion can also be a problem downstream from pump stations having long wet well holding times.

- Are odors a frequent source of complaints?
- Has the sewer utility verified the existence/non-existence of a hydrogen sulfide problem, and if one is present, does it have in place corrosion control programs?
- What are the major elements of the utility's program?

A control program could be use of chemicals or aeration to prevent the formation of hydrogen sulfide. Pipe materials which resists corrosion are also effective. Often, a combination of approaches will be included in a program.



## ✓ *Lift Stations*

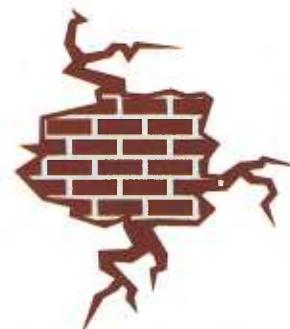
Lift stations are an important part of most wastewater systems. In coastal or other areas with little topographical relief, lift stations are a major O&M item. The effects of deteriorated collection systems are often realized at lift stations in the form of severe overflows during rain events.

### **Operation**

- How many personnel are detailed to pump station operations and maintenance?
- Are these personnel assigned full-time or part-time to pump station duties?
- Is there sufficient redundancy of equipment?

### **Emergencies**

- Who responds to lift station overflows? How are they notified?



- How is loss of power at a station dealt with? (e.g., on-site electrical generators, alternate power source, portable electric generators)

### **Alarms and Monitoring**

- How are lift stations monitored?

The answer to this question will depend on the station size, and the size and complexity of the system. In many systems, audible alarms or flashing lights are used to indicate a problem at the station. Reliance is placed on either the local populace or law enforcement to notice and report an alarm. In more modernized systems, alarm conditions are remotely monitored at a central location. This is particularly true for the larger stations. These SCADA (Supervisory Control and Data Acquisition) systems allow for real-time control, monitoring, and record keeping from remote locations.

### **Inspection**

- How often are lift stations visited?
- What is inspected during these visits?
- Is there a checklist?



### **Preventative and Routine Maintenance**

- Is there a preventive maintenance program for lift station equipment, and if so, what is involved in this program?
- Is an adequate parts inventory maintained for all equipment?
- Is there a sufficient number of trained personnel to properly maintain all stations?

### **Record keeping**

- Are O&M logs maintained for all pump stations?
- Are manufacturer's specifications and equipment manuals available for all equipment?
- Are run-times or ampere readings recorded for all pumps? How is this information used to assess performance?

### Force Mains and Air Release/Vacuum Valves

Force mains and air release/vacuum valves are an integral part of the transmission system. Force mains receive the lift station effluent and convey it to the gravity system or the treatment plant. Air release/vacuum valves are installed at the high points of the force main.

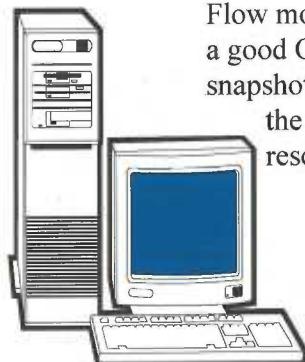
The route of force mains should be inspected regularly in order to determine if any leaks are present. This is particularly true where the route is through remote areas. Air release/vacuum valves should be identified and receive regular documented maintenance. Malfunctions of these valves can lead to overflows and/or a reduced hydraulic capacity of the force main.

- Does the utility schedule and conduct inspections of force main routes?
- Does the utility have a scheduled maintenance/inspection program for air release/vacuum valves?

### ✓ *Sewer System Evaluation*

As discussed in the Management section, many of the techniques in use for SSES work should be a part of a utility's operation and maintenance program. Larger utilities can justify the purchase of much of the equipment used in this effort.

#### Flow Monitoring



Flow monitoring data collection and evaluation should be an important part of a good O&M program. A well-designed flow monitoring program will give a snapshot of the current condition of the system. By isolating the portions of the system that are making the greatest contribution to the problem, resources can be directed where they will be of greatest benefit.

Techniques used to monitor flow include continuous metering, nighttime field measurements, quantification of pump run-times, and flow measurements taken at the treatment plant. Continuous flow measurement at key locations throughout the collection system will give the most accurate indication of system integrity. The other techniques have been used to some advantage with smaller systems.

Use of meters which measure depth of flow and velocity will allow accurate results, even under surcharged conditions. Meters are available which allow continuous data recording

which can either be downloaded locally or transmitted to a remote location. Coupled with appropriate software, this is a powerful tool for sewer system evaluation.

- Does the utility have a flow monitoring program? If so, what methods are used?

### **Manhole Inspection**

Inspecting manholes is an important part of any maintenance program. Often utilities are unaware of the location of many of their manholes. This is unfortunate since manholes are an important source of I/I and are good indicators of problems in the system. Missing manhole lids and offset manhole cones are often the result of sewer overflows. Debris on manhole steps or high waterlines indicate the presence of surcharged conditions.

Some utilities use manhole inserts to reduce inflow to the system. A manhole insert is a small, tub-shaped plastic device installed at the top of the manhole and held in position by the manhole lid. Its purpose is to catch water that enters the manhole via holes in the lid or via the access pick holes.

- Does the utility have a routine manhole inspection program?
- Is there a data management system for documenting and tracking manhole inspection activities?
- What triggers whether a manhole needs rehabilitation?

### **Sewer Cleaning Related to I/I Reduction**

- Are sewers cleaned prior to flow monitoring?
- Are sewers cleaned prior to televised inspection?

### **Televised Inspection**

Inspecting sewers using closed-circuit television (CCTV) cameras is a powerful tool for I/I reduction. Leaking joints or punctures can be easily detected and often repaired at the time of inspection. CCTV is also a good method to inspect the integrity of new construction before the warranty expires.

- Does the utility use televised inspection? If so, in what context?

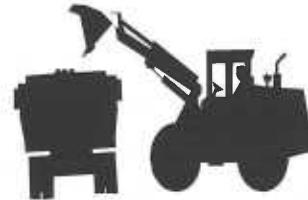
### **Smoke Testing and Dyed Water Flooding**

These techniques are useful to locate defects in the system and illegal connections.

- Does the utility use smoke testing to identify sources of inflow into the system?
- Does the utility use dyed water flooding to identify suspected sources (indirect connections) of inflow into the system when smoke testing yields inconclusive results?
- Is there a data management system for tracking these activities?
- Is there a document that describes the procedures that the utility follows? Are there any standard forms?

## **✓ Rehabilitation**

Several techniques are available for sewer rehabilitation. A determination of the best techniques to apply to a particular situation should be made following the SSES and an economic analysis comparing the different options.



### **Main Line Repairs**

#### Point and Replacement Repairs

Point repairs consist of repairing cracked, corroded, or broken gravity sewers and force mains. This work typically includes excavation to the location of the break, removal of the broken pipe section(s) and replacement with new pipe.

#### Joint Testing and Grouting

Joint testing and grouting are done on sewer line sections with leaking joints but no structural defects. This work can be done in conjunction with the routine televising of lines. Grouting has a limited life and must be repeated every 5-10 years.

#### Sewer Lining

Sewer lining is a technique which returns pipe to new condition. Many of the current systems can be used where pipe is structurally deficient. Due to the limited excavation required for these techniques, they are good choices where surface construction would cause much disruption.

- What type of main line repairs has the utility used in the past?
- Does the utility currently use any of above techniques for main line repairs?

### **Manhole Repairs**

Manhole repairs consist of repairing structural defects or leakage in individual manholes and castings. The structural repair work may include:

- Complete manhole replacement
- Replacing castings (lid and frame)
- Replacing defective adjusting rings or top segments
- Spray relining the existing manhole
- Grouting fissures to eliminate leakage

- What rehabilitation techniques are used for manhole repairs?
- What type of documentation is kept?

### **✓ Service Laterals**

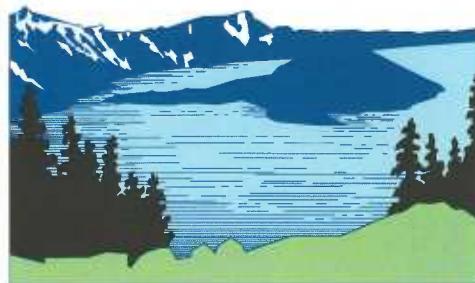
Service laterals can often be the largest source of I/I to a system. Taps, joints, and locations of structural damage are common points where I/I may be introduced into the collection system. Most utilities have legally established what part(s) of the service lateral they maintain. Jurisdiction may cover the tap only, cover all construction to the property line, or cover construction all the way to the building. The utility itself may not have direct control over installation of new service laterals. Typically the municipality's building inspectors have this responsibility. What is important is that there is communication and a consistency of standards between the utility and building departments.

- To what degree does the utility have responsibility for service laterals?
- Does the utility have a written procedure for the approval and inspection of new construction service laterals?
- Does the utility require service laterals to meet certain standards of construction? How are these standards made available to builders?
- Does the utility have a procedure to actively find and remove illegal tap-ins?
- What is the utility's jurisdiction related to repair/replacement of service laterals?
- Does the utility include I/I originating from service laterals as part of their system evaluations?

## ✓ Alternative Collection Systems

Alternative collection systems differ significantly from the conventional gravity sewer commonly employed to convey wastewater. Alternative systems include: grinder pump pressure systems, septic tank effluent pump (STEP) systems, small diameter gravity systems, and vacuum collection systems. Each system has its own unique operation and maintenance requirements and could be found as a subset of a system which is predominately gravity sewer or by itself as a stand-alone utility.

Although each alternative system operates differently and has different maintenance requirements, all require a similar management system. In each system appurtenances are located at each residence, so the utility needs to have ready access, maintain adequate spare parts, and install alarm systems to notify the utility of any problems between inspections.



### Grinder Pump Systems

Grinder systems employ a holding tank (typically up to 100 gallons and located near an individual residence) which houses a small pump with a grinder attached. Wastewater is discharged intermittently using float controls. The collection system is comprised mostly of 1½" and 2" PVC plastic lines. Manholes are generally not installed, but cleanouts should be installed at the ends of all lines and at critical points. Air release valves are installed at the downstream side of high points. Pressures are low.

A system serving 500 homes would include 500 individual pump stations so a utility needs to have an appropriate staffing level for maintenance. A minimum of two personnel should be available. Generally speaking, a staff including two full-time employees per 1,000 stations has been found sufficient for well-designed systems.

Major sources of emergency maintenance include electrical problems and grease buildup in the holding tanks, resulting in failure of the floats to activate the pumps. Corrosion within the holding tank can also be a problem. Grinding solids reduces the likelihood of solids deposition, but hydrogen sulfide may be a problem where the pressure line discharges to the treatment plant or into a gravity collection system.

Pump preventive maintenance is critical and adequate spare pumps should be in inventory. Pumps and grinders may require frequent replacement and overhaul. Pump life is limited and a plan to replace all pumps should be in place. Infiltration is generally not a problem, but exfiltration may occur through deteriorated joints.

### Septic Tank Effluent Pump Systems

STEP systems are similar to the grinder pump system except a septic tank replaces the holding tank and grinders are not present on the pumps. A greater range in pump types (centrifugal, progressive cavity, etc.) are common with these systems. Although the septic tank provides preliminary treatment and solids settlement, it is part of the collection system.



Significant infiltration may occur with poorly sealed and constructed septic tanks. Lines are generally sized assuming low infiltration rates. High infiltration rates will increase pump operation and may reduce pump life.

The wastewater is highly septic and can cause odor and corrosion problems where the pressure line discharges into a conventional manhole or treatment works. Proper operation and maintenance of the septic tank is essential for proper function of the collection system, so tanks should be pumped out on a set schedule.

### Small Diameter Gravity Sewers

Like STEP systems, small diameter gravity systems use septic tanks for preliminary treatment and solids removal. However, no pumps are used. The septic tank overflows into a small diameter (4" and up) pipe placed at a moderate grade. The lower solids concentration in the wastewater results in less deposition of solids in the pipe.

Cleanouts are generally used in place of manholes, and pipes are sized assuming low infiltration rates. Similar to the STEP system, the integrity and maintenance of the septic tank is a critical factor for proper operation.

### Vacuum Sewer Systems

Vacuum systems have a central vacuum station which includes vacuum pumps, holding tanks, and pressure pumps. The vacuum pumps provide a continuous suction in the collection line. A holding tank and vacuum valve are installed near each residence.

When the wastewater reaches a set level in the holding tank, the valve is opened to release a slug of liquid into the collection line. A loss of vacuum in the system will generally trigger a fault condition. Major breaks may cause the system to shut down, and leaks are difficult to locate. Once the wastewater arrives at a central vacuum station, it enters a holding tank and is pumped to the treatment facility through a force main.

- Does the utility have control of the near-residence portions of the collection system?
- Who owns the near-residence systems?
- Does the utility do periodic inspections of the near-residence facilities?
- What is the frequency of these inspections?
- Are pressure check valves installed on pumps?
- Are clean-outs installed at the end of each branch line?
- Is a pipe locating system installed?
- Are air release valves installed on the downstream side of high points?
- Does the system have a warning alarm system at each residence?
- How does the utility respond to the alarm system?
- Are odor control systems are installed?



Performance Measures for Previous 12 Months		Year	Month
A. Number of Customer Complaints			
B. Number of NPDES Permit Violations			
C. Number of Capacity-Related Overflows			
D. Number of Maintenance-Related Overflows			
E. Number of Operations-Related Overflows			
F. Number of Blockages			
G. Number of Cave-Ins			
H. Number of Pump Station Failures			
I. Peak Flow Factor at Treatment Plant (1 hour high/dry month avg.)			
J. Monthly Average Treatment Plant Flow Rate (gal/capita/day)			
K. Monthly High One Day Treatment Flow Rate (gal/capita/day)			
L. Number of By-Passes at Treatment Plant			
M. Volume of Treatment Plant By-Passes (gal)			
N. WWTP Weekly Average Influent BOD (mg/L)			

### **Useful References for Management, Operations, and Maintenance Programs**

The following references may be obtained from their cited sources. Documents referenced to California State University, Sacramento may be obtained by contacting:

California State University, Sacramento  
Office of Water Programs  
6000 J Street  
Sacramento, California 95819-6025  
(Tel) 1-916-278-6142 (Fax) 1-916-278-5959  
(E-mail) [wateroffice@csus.edu](mailto:wateroffice@csus.edu)

Documents referenced to the Water Environment Federation may be obtained by contacting:

Water Environment Federation  
601 Wythe Street  
Alexandria, VA 22314-1994 USA  
(Member Services Center) 1-800-666-0206  
(Fax) 1-703-684-2492 (E-mail) [pubs@wef.org](mailto:pubs@wef.org)  
(Internet) <http://www.wef.org/TechResCatalog/marketplace/>

Documents referenced to the Environmental Protection Agency may be obtained by contacting either the NCEP (if in stock) or the NTIS:

U.S. Environmental Protection Agency  
National Service Center for Environmental Publications  
P.O. Box 42419  
Cincinnati, OH 45242  
(Tel) 1-800-490-9198 (Fax) 1-513-489-8695  
(Internet) <http://www.epa.gov/ncepilhom/orderpub.html>

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5285 Port Royal Road  
Springfield, VA 22161  
(Tel) 1-800-553-NTIS (Fax Orders) 1-703-605-6900  
(E-mail) [orders@ntis.fedworld.gov](mailto:orders@ntis.fedworld.gov)  
(Internet) <http://www.ntis.gov/ordering.htm>

The EPA Region 4 Guide may be obtained by contacting Region 4 directly:

U.S. Environmental Protection Agency, Region 4  
Water Management Division  
Water Programs Enforcement Branch  
61 Forsyth Street, SW  
Atlanta, GA 30303-8909

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- NPDES Compliance Inspection Manual, Chapters 4 and 9, September 1994, EPA 300-B-94-014
- Handbook for Retrofitting POTWs, July 1989, EPA 625-689-020
- Pretreatment Compliance Monitoring and Enforcement Guidance, September 1986, United States Environmental Protection Agency
- Guidance for Conducting a Pretreatment Compliance Inspection, September 1991, EPA 300R-92-009
- EPA Region 4 Guide for Conducting Evaluations of Municipal Wastewater Collection System Management, Operation, and Maintenance Programs, October 30, 1996

➤ = Available for viewing on-line at the National Environmental Publications Internet Site (NEPIS). Go to [www.epa.gov/necepishom/nepishom](http://www.epa.gov/necepishom/nepishom) and search using the document code (e.g., 625689020).